



Date 5/29/02 Label No. EV028719313-VS

I hereby certify that, on the date indicated above, this paper or fee was deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

D. Peck  
Name (Print)

D. Peck  
Signature

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Customer No.:



07278

PATENT TRADEMARK OFFICE

Docket No.: 3981/OK014

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Andrew Patrick BAIRD and Jamie STOKES

Serial No.: 09/980,724

Filed: November 15, 2001

For: WAVEGUIDE POLARIZATION ROTATOR

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Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**RESPONSE TO NOTIFICATION OF DEFECTIVE RESPONSE**

The following items are submitted herewith in response to the Notification of Defective Response dated April 1, 2002:

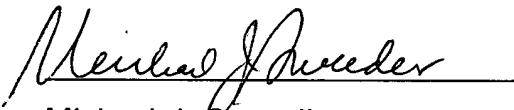
1. Substitute Declaration and Power of Attorney.

2. Copies of the PCT Request and PCT Demand for international patent application serial no. PCT/GB00/01855, on which the subject U.S. patent application is based. These documents identify both Andrew Patrick Baird and Jamie Stokes as applicant-inventors.
3. A Petition for Extension of Time (2 months) and the fee of \$400, pursuant to 37 C.F.R. §1.117(a)(2).
4. A copy of the Notification of Defective Response.

The Patent Office is authorized to charge any deficiency up to \$300.00 in the above fees, and to credit any excess, to our Deposit Account No. 4-0100.

Respectfully submitted,

Dated: May 29, 2002



Michael J. Sweedler  
Reg. No. 19,937  
Attorney for Applicant(s)

DARBY & DARBY P.C.  
Post Office Box 5257  
New York, NY 10150-5257  
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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NUMBER NO.

09/980,724

FIRST NAMED APPLICANT

Andrew Patrick Baird

ATTY. DOCKET NO.

3981/0K014

INTERNATIONAL APPLICATION NO.

PCT/GB00/01855

I.A. FILING DATE

05/17/2000

PRIORITY DATE

05/17/1999

Michael J Sweedler  
 Darby & Darby  
 805 Third Avenue  
 New York, NY 10022-7513

DUE: May 1, 2002  
 Docketed on 4/11 by DP for  
 Docketed without file   
 Attorney MJS/BR

CONFIRMATION NO. 6647  
 371 FORMALITIES LETTER



\*OC000000007754324\*

Date Mailed: 04/01/2002

8-29-02

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Assignee Statement
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - An inventor has been added to the declaration. There are no official documents that identify the added inventor.

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice MUST be returned with the response.*

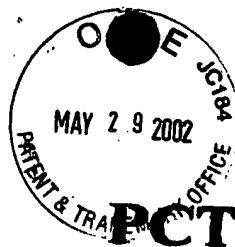
CHARITTA A BURT

Telephone: (703) 305-3734

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/980,724	PCT/GB00/01855	3981/OK014

FORM PCT/DO/EO/916 (371 Formalities Notice)



## BEST AVAILABLE COPY

## REQUEST

The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty.

For receiving Office use only

## International Application No.

## International Filing Date

## Name of receiving Office and "PCT International Application"

Applicant's or agent's file reference  
(if desired) (13 characters maximum)

RSN/P10676PC

## Box No. I TITLE OF INVENTION

WAVEGUIDE ROTATOR SYSTEM.

## Box No. II APPLICANT

Name and address: (Family name followed by given names, for a legal entity, full official designation. The address must include postal code and name of country. The country of residence is indicated in this box in the applicant's State (not & country) of residence if no State of residence is indicated below.)

CAMBRIDGE INDUSTRIES LIMITED,  
CAMBRIDGE HOUSE,  
5 COMMERCE PARK,  
BRUNEL ROAD,  
THEALE,  
BERKSHIRE RG7 4AB, UNITED KINGDOM

State (not & country) of nationality:

GB (UNITED KINGDOM)

This person is applicant  
for the purposes of:

State (not & country) of residence:

GB (UNITED KINGDOM)

all designated States except the United States of America  
 the United States of America only

the State indicated in the Supplemental Box

## Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)

Name and address: (Family name followed by given names, for a legal entity, full official designation. The address must include postal code and name of country. The country of residence is indicated in this box in the applicant's State (not & country) of residence if no State of residence is indicated below.)

STOKES, Jamie,  
166 WANTAGE ROAD,  
READING RG30 2SJ,  
BERKSHIRE,  
UNITED KINGDOM

State (not & country) of nationality:

GB (UNITED KINGDOM)

State (not & country) of residence:

GB (UNITED KINGDOM)

This person is applicant  
for the purposes of:

all designated States except the United States of America

the United States of America only

the State indicated in the Supplemental Box

Further applicants and/or (further) inventors are indicated on a continuation sheet.

## Box No. IV AGENT OR COMMON REPRESENTATIVE; OR ADDRESS FOR CORRESPONDENCE

The person identified below is hereby/has been appointed to act on behalf  
of the applicant(s) before the competent International Authorities as:

agent

common representative

## Name and address:

McCALLUM, William Potter; MACDOUGALL, Donald Carmichael; SZCZUKA, Jan  
Tymoteusz; NAISMITH, Robert Stewart; HORNER, Martin Grenville; SHANKS,  
Andrew; NEWELL, Campbell; KERR, Sheila Agnes Fife; MORELAND, David;  
GODWIN, Edgar James; all of

CRUIKSHANK & FAIRWEATHER, 19 ROYAL EXCHANGE SQUARE,  
GLASGOW G1 3AE, UNITED KINGDOM (GB)

Telephone No.  
0141 221 5767

Facsimile No.  
0141 221 7739

Teleprinter No.

Address for correspondence: Mark this check-box where no agent or common representative is/has been appointed and the space above is used instead to indicate a special address to which correspondence should be sent.  
Form PCT/RQ/101 (first sheet) (July 1998; reprint January 2000)

See Notes to the request form

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Sheet No. 2

## Continuation of Box No. III FURTHER APPLICANT(S) AND/OR (FURTHER) INVENTOR(S)

*If none of the following sub-boxes is used, this sheet should not be included in the request.*

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the residence indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

**BAIRD, Andrew Patrick,**  
23 STRAWBERRY FIELDS,  
BRAMLEY,  
HAMPSHIRE RG26 2QF,  
UNITED KINGDOM

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

GB (UNITED KINGDOM)

State (that is, country) of residence:

GB (UNITED KINGDOM)

This person is applicant for the purposes of:

 all designated States all designated States except the United States of America the United States of America only the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the residence indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

State (that is, country) of residence:

This person is applicant for the purposes of:

 all designated States all designated States except the United States of America the United States of America only the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the residence indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

State (that is, country) of residence:

This person is applicant for the purposes of:

 all designated States all designated States except the United States of America the United States of America only the States indicated in the Supplemental Box

Name and address: (Family name followed by given name; for a legal entity, full official designation. The address must include postal code and name of country. The country of the residence indicated in this Box is the applicant's State (that is, country) of residence if no State of residence is indicated below.)

This person is:

applicant only  
 applicant and inventor  
 inventor only (If this check-box is marked, do not fill in below.)

State (that is, country) of nationality:

State (that is, country) of residence:

This person is applicant for the purposes of:

 all designated States all designated States except the United States of America the United States of America only the States indicated in the Supplemental Box

Further applicants and/or (further) inventors are indicated on another continuation sheet.

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Sheet No. 3

## Box N.V DESIGNATION OF STATES

The following designations are hereby made under Rule 4.9(a) (mark the applicable check-boxes; at least one must be marked):  
 Regional Patent

AP ARIPO Patent: GH Ghana, GM Gambia, KE Kenya, LS Lesotho, MW Malawi, SD Sudan, SL Sierra Leone, SZ Swaziland, TZ United Republic of Tanzania, UG Uganda, ZW Zimbabwe, and any other State which is a Contracting State of the Harare Protocol and of the PCT

EA Eurasian Patent: AM Armenia, AZ Azerbaijan, BY Belarus, KG Kyrgyzstan, KZ Kazakhstan, MD Republic of Moldova, RU Russian Federation, TJ Tajikistan, TM Turkmenistan, and any other State which is a Contracting State of the Eurasian Patent Convention and of the PCT

EP European Patent: AT Austria, BE Belgium, CH and LI Switzerland and Liechtenstein, CY Cyprus, DE Germany, DK Denmark, ES Spain, FI Finland, FR France, GB United Kingdom, GR Greece, IE Ireland, IT Italy, LU Luxembourg, MC Monaco, NL Netherlands, PT Portugal, SE Sweden, and any other State which is a Contracting State of the European Patent Convention and of the PCT

OA OAPI Patent: BF Burkina Faso, BJ Benin, CF Central African Republic, CG Congo, CI Côte d'Ivoire, CM Cameroon, GA Gabon, GN Guinea, GW Guinea-Bissau, ML Mali, MR Mauritania, NE Niger, SN Senegal, TD Chad, TG Togo, and any other State which is a member State of OAPI and a Contracting State of the PCT (if other kind of protection or treatment desired, specify on dotted line)

National Patent (if other kind of protection or treatment desired, specify on dotted line):

AE United Arab Emirates

AL Albania

AM Armenia

AT Austria

AU Australia

AZ Azerbaijan

BA Bosnia and Herzegovina

BB Barbados

BG Bulgaria

BR Brazil

BY Belarus

CA Canada

CH and LI Switzerland and Liechtenstein

CN China

CR Costa Rica

CU Cuba

CZ Czech Republic

DE Germany

DK Denmark

DM Dominica

EE Estonia

ES Spain

FI Finland

GB United Kingdom

GD Grenada

GE Georgia

GH Ghana

GM Gambia

HR Croatia

HU Hungary

ID Indonesia

IL Israel

IN India

IS Iceland

JP Japan

KE Kenya

KG Kyrgyzstan

KP Democratic People's Republic of Korea

KR Republic of Korea

KZ Kazakhstan

LC Saint Lucia

LK Sri Lanka

LR Liberia

LS Lesotho

LT Lithuania

LU Luxembourg

LV Latvia

MA Morocco

MD Republic of Moldova

MG Madagascar

MK The former Yugoslav Republic of Macedonia

MN Mongolia

MW Malawi

MX Mexico

NO Norway

NZ New Zealand

PL Poland

PT Portugal

RO Romania

RU Russian Federation

SD Sudan

SE Sweden

SG Singapore

SI Slovenia

SK Slovakia

SL Sierra Leone

TJ Tajikistan

TM Turkmenistan

TR Turkey

TT Trinidad and Tobago

TZ United Republic of Tanzania

UA Ukraine

UG Uganda

US United States of America

UZ Uzbekistan

VN Viet Nam

YU Yugoslavia

ZA South Africa

ZW Zimbabwe

Check-boxes reserved for designating States which have become party to the PCT after issuance of this sheet:

AC Antigua and Barbuda

DZ Algeria

Precautionary Designation Statement: In addition to the designations made above, the applicant also makes under Rule 4.9(b) all other designations which would be permitted under the PCT except any designation(s) indicated in the Supplemental Box as being excluded from the scope of this statement. The applicant declares that those additional designations are subject to confirmation and that any designation which is not confirmed before the expiration of 15 months from the priority date is to be regarded as withdrawn by the applicant at the expiration of that time limit. (Confirmation (including fees) must reach the receiving Office within the 15-month time limit.)

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Sheet No. 4

## Box No. VI PRIORITY CLAIM

		<input type="checkbox"/> Further priority claims are indicated in the Supplemental Box.		
		Where earlier application is:		
		national application: country	regional application: regional Office	international application: receiving Office
item (1)	17 MAY 1999 (17.05.99)	9911449.8	GB	
item (2)				
item (3)				

The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) (only if the earlier application was filed with the Office which for the purposes of the present international application is the receiving Office) identified above as item(s): 1) above

\* Where the earlier application is an ARIPO application, it is mandatory to indicate in the Supplemental Box at least one country party to the Paris Convention for the Protection of Industrial Property for which that earlier application was filed (Rule 4.10(b)(ii)). See Supplemental Box.

## Box No. VII INTERNATIONAL SEARCHING AUTHORITY

Choice of International Searching Authority (ISA)  
(if two or more International Searching Authorities are competent to carry out the international search, indicate the authority chosen; the two-letter code may be used):

ISA /

Request to use results of earlier search; reference to that search (if an earlier search has been carried out by or requested from the International Searching Authority):  
Date (day/month/year) Number Country (or regional Office)

## Box No. VIII CHECK LIST; LANGUAGE OF FILING

This international application contains the following number of sheets:

request	:	4
description (excluding sequence listing part)	:	16
claims	:	4
abstract	:	1
drawings	:	7
sequence listing part of description	:	
Total number of sheets	:	32

Figure of the drawings which should accompany the abstract:

This international application is accompanied by the item(s) marked below:

- fee calculation sheet
- separate signed power of attorney
- copy of general power of attorney; reference number, if any:
- statement explaining lack of signature
- priority document(s) identified in Box No. VI as item(s):
- translation of international application into (language):
- separate indications concerning deposited microorganism or other biological material
- nucleotide and/or amino acid sequence listing in computer readable form
- other (specify):

Language of filing of the international application: ENGLISH

## Box No. IX SIGNATURE OF APPLICANT OR AGENT

Next to each signature, indicate the name of the person signing and the capacity in which the person signs (if such capacity is not obvious from reading the request).

ROBERT STEWART NAISMITH  
European Patent Attorney

17th May 2000

1. Date of actual receipt of the purported international application:

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3. Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application:

2. Drawings:

 received: not received:

4. Date of timely receipt of the required corrections under PCT Article 11(2):

6.  Transmittal of search copy delayed until search fee is paid.

5. International Searching Authority (if two or more are competent): ISA /

Date of receipt of the record copy by the International Bureau:

For International Bureau use only